

FORM PTO-1390 (REV. 01-2003)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 042-201	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (If known, see 37 CFR 1.5)	
				10/516959	
INTERNATIONAL APPLICATION NO. PCT/JP03/07043		INTERNATIONAL FILING DATE 06/03/2003		PRIORITY DATE CLAIMED 04/06/2002	
TITLE OF INVENTION Lithium Rechargeable Battery					
APPLICANT(S) FOR DO/EO/US Tatsuo Shimizu, Zenzou Hashimoto					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input checked="" type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). 					
Items 11 to 20 below concern document(s) or information included:					
<ol style="list-style-type: none"> 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input checked="" type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input type="checkbox"/> Other items or information: 					

U.S. PATENT NO. (if known, see 37 CFR 1.5) 10/516959		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
----------------------------------------------------------------	--	-------------------------------	--	--------------------------	--

21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. \$1060.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$900.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$750.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$720.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY 	
				\$ 790.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	11 - 20 =		x \$18.00	\$	
Independent claims	4 - 3 =	1	x \$84.00	\$ 88.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				\$	
				+ \$280.00	
TOTAL OF ABOVE CALCULATIONS =				\$ 878.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	
SUBTOTAL =				\$ 878.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$ 878.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 40.00	
TOTAL FEES ENCLOSED =				\$ 918.00	
				Amount to be refunded:	\$
				charged:	\$

a. ☒ A check in the amount of \$ 918.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

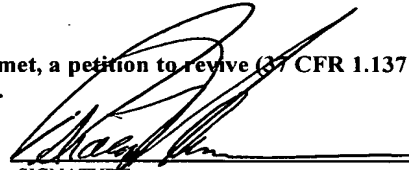
c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 50,2069. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)
or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO: Customer #: 35,870

Apex Juris, pllc
 13194 Edgewater Lane Northeast
 Seattle, Washington 98125
 Tel: (206) 664-0314
 Fax: (206) 664-0329
 email: tracy@apexjuris.com


 SIGNATURE
Tracy M. Heims
 NAME
53,010
 REGISTRATION NUMBER

NEW PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Shimizu, et al.

Application No.: New U.S. Patent Application under 35 U.S.C. 371

Filed: December 3rd, 2004

Attorney Dkt. No.: 042-201
040-112 *JP*

For: Lithium Rechargeable Battery

NEW PATENT APPLICATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

December 3rd, 2004

Commissioner:

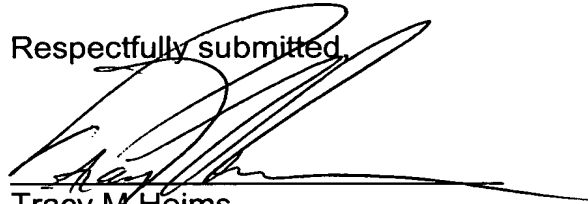
Applicant respectfully requests that the filing date of December 3rd, 2004 be granted to this filing and Applicant claims priority to the previously filed Japanese application, dated 04/06/2002 and herein provides the appropriate following documentation:

1. Business check in the amount of \$918.00
2. Self Address, stamped return post card setting forth submission
3. Letter to the Commissioner regarding initial filing (2 pages)
4. Certificates of mailings for all documents (1 page)
5. PTO-1390 Transmittal Letter to the US Designated Office
Concerning a filing under 35 U.S.C. 371 (2 pages)
6. PTO/SB/17, Fee transmittal form in duplicate (2 pages)
7. PTO-1595 Recordation Cover Sheet and Recordation
documents (4 pages)
8. Application Data Sheet (4 pages)
9. Specification and claims (23 pages)

10. Formal drawings (10 pages)
11. Amendment under PCT Article 34 (3 pages)
12. Preliminary Amendment (4 pages)
13. Declaration and Power of Attorney for Patent Application (3 pages)

Please charge any fee deficiency or credit any overpayment with respect to this paper and or this application to Apex Juris Deposit Account No. 502069.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Tracy M Heims', is written over a horizontal line.

Tracy M Heims
Registration No. 53,010

APEX JURIS, pllc
13194 Edgewater Lane Northeast
Seattle, Washington 98125
Email: tracy@apexjuris.com
Tel: 206-664-0314
Fax: 206-664-0329

BT14 Rec'd PCT/PTO 03 DEC 2004

Mailed via United States Postal Service, Express Mail, label # ED 321833100 US, to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 with sufficient postage, on December 3rd, 2004 the following items:

1. Business check in the amount of \$918.00 made to Commissioner for Patents (1 check for filing fee and assignment recordation)
2. Self Addressed Stamped Post Card (1 card)
3. Letter to the Commissioner re: application (2 pgs)
4. Certificate of Mailing (1 page)
5. PTO-1390 for 35 U.S.C. 371 Filing (2 pages)
6. PTO/SB/17, Fee Transmittal for FY2005 (2 copies)
7. PTO-1595 Recordation Cover Sheet and Recordation documents (4 pages)
8. Application Data Sheet (ADS) (4 pages)
9. Specification and Claims (23 pages)
10. Formal Drawings (10 pages)
11. Amendment under PCT Article 34 (3 pages)
12. Preliminary Amendment (4 pages)
13. Declaration for Patent Application and Appointment of Attorney (3 pages)

Application of: Tatsuo Shimizu, et al.
NEW 35 USC 371 PATENT APPLICATION
Filed: December 3rd, 2004
For: Lithium Rechargeable Battery
APEX REF. # ~~040-211~~ 0462-200
Yokohama REF#: 030-536 PCT

10/516959

10/516959

PT05 Pcd PCT/PTO 03 DEC 2004

PTO/SB/17 (10-04)

Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL
for FY 2005**

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 918.00)

Complete if Known

Application Number	
Filing Date	12/03/2004
First Named Inventor	Tatsuo Shimizu
Examiner Name	
Art Unit	
Attorney Docket No.	042-201

METHOD OF PAYMENT (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit
Account
Number
Deposit
Account
Name

50,2069

Apex Juris, pllc

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 790	2001 395	Utility filing fee	790
1002 350	2002 175	Design filing fee	
1003 550	2003 275	Plant filing fee	
1004 790	2004 395	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$ 790.00)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1202 18	2202 9	Claims in excess of 20	
1201 88	2201 44	Independent claims in excess of 3	
1203 300	2203 150	Multiple dependent claim, if not paid	
1204 88	2204 44	** Reissue independent claims over original patent	
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			(\$ 88.00)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 430	2252 215	Extension for reply within second month	
1253 980	2253 490	Extension for reply within third month	
1254 1,530	2254 765	Extension for reply within fourth month	
1255 2,080	2255 1,040	Extension for reply within fifth month	
1401 340	2401 170	Notice of Appeal	
1402 340	2402 170	Filing a brief in support of an appeal	
1403 300	2403 150	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,370	2501 685	Utility issue fee (or reissue)	
1502 490	2502 245	Design issue fee	
1503 660	2503 330	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	40
1809 790	2809 395	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 790	2810 395	For each additional invention to be examined (37 CFR 1.129(b))	
1801 790	2801 395	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

SUBMITTED BY

(Complete if applicable)

Name (Print/Type)	Tracy M Heims	Registration No. (Attorney/Agent)	53, 010	Telephone	206-664-0314
Signature		Date	12/03/2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

FOR: NEW PATENT APPLICATION.

Attorney Docket Number ~~040-112~~ 042-201 JB

THE FOLLOWING DOCUMENTS ARE INCLUDED HEREIN:

1. Business check in the amount of \$918.00
2. Self Address, stamped return post card setting forth submission
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I hereby certify that this correspondence is being deposited with the United States Postal Service, Express Mail, label number ED 321833100 US, with sufficient postage, in an envelope addressed to:

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

On December 3rd, 2004


Tracy M Heims
Reg.# 53,010


Date: December 3rd, 2004

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